

# Wachovia Capital Markets

## Consent Order

DATE: August 16, 2006

RESPONDENT: Wachovia Capital Markets, LLC

ALLEGATIONS: Wachovia Capital Markets failed to reasonably supervise Research Analysts to manage internal conflicts of interests and failed to preserve certain books and records. As part of a global settlement with all states, Wachovia agreed to the Order without admitting or denying any of the allegations.

CONSENT ORDER: Wachovia agreed to pay the following a civil penalty to the Office of Securities Commissioner in the amount of \$246,500.

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.